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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/616,800	07/14/2000	James Richard Wason	13678(END9-2000-0079US1)	6633

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EXAMINER

HOLMES, MICHAEL B

ART UNIT	PAPER NUMBER
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2121

DATE MAILED: 10/23/2003

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Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/616,800	WASON, JAMES RICHARD	
	<b>Examiner</b>	<b>Art Unit</b>	
	Michael B. Holmes	2121	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 14 July 2000.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-11 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-11 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 08 January 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.  
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

#### Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).  
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

#### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)                      4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_
- 2) ☒ Notice of Draftsperson's Patent Drawing Review (PTO-948)                      5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 2 .                      6) ☐ Other:



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## Examiner's Detailed Office Action

1. This action is responsive to application **09/616,800**, filed **July 14, 2000**.
2. **Claims 1-11** have been examined.

## Information Disclosure Statement

3. Examiner acknowledges applicants' submission of prior art and information disclosure. Nevertheless, applicant is respectfully remind of the ongoing Duty to disclose 37 C.F.R. 1.56 all pertinent information and material pertaining to the patentability of applicant's claimed invention, by continuing to submitting in a timely manner PTO-1449, Information Disclosure Statement (IDS) with the filing of applicant's of application or thereafter.

## Drawings

4. The formal drawings have been reviewed by the United States Patent & Trademark Office of Draftperson's Patent Drawings Review. Form PTO-948 has been supplied.

## Specification

5. The specification has not been checked to the extent necessary to determine the presence of all possible minor errors. Applicant's cooperation is required in correcting any errors of which applicant may become aware in the specification.

## Claim Interpretation

6. Office personnel are to give claims their "**broadest reasonable interpretation**" in light of the supporting disclosure. *In re Morris*, 127 F.3d 1048, 1054-55, 44 USPQ2d 1023, 1027-28 (Fed. Cir. 1997). Limitations appearing in the specification but not recited in the claim are not read into the claim. *In re Prater*, 415 F.2d 1393, 1404-05, 162 USPQ 541, 550-551 (CCPA 1969). See \*also *In re Zletz*, 893 F.2d 319, 321-22, 13 USPQ2d 1320, 1322 (Fed. Cir. 1989) ("During patent examination the pending claims must be interpreted as broadly as their terms reasonably allow. . . . The reason is simply that during patent prosecution when claims can be amended, ambiguities should be recognized, scope and breadth of language explored, and clarification imposed. . . . An essential purpose of patent examination is to fashion claims that are precise, clear, correct, and unambiguous. Only in this way can uncertainties of claim scope be removed, as much as possible, during the administrative process."). *see* MPEP § 2106

## Common Knowledge Block

7. **trigger n.** 1. In a database, an action that causes a procedure to be carried out automatically when a user attempts to modify data. A trigger can instruct the database system to take or perform a specific action., depending on the particular change attempted. Incorrect, unwanted, or unauthorized changes can thereby be prevented, helping to maintain the integrity of the database. 2. A function built into a virus or worm that controls the release of a malicious payload or similar event. The trigger may be activated at a predetermined time or date or in response to a user-initiated event, such as opening a specific program or file,. In some cases, the trigger may reset itself repeatedly until the virus is neutralized.

## Claim Rejections - 35 USC § 102

8. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

9 **Claims 1-11** are rejected under 35 U.S.C. 102(b) as being anticipated by

**Reed et al. (USPN 5,862,325), Filed: September 27, 1996; Date of Patent: January 19, 1999.**

### Regarding Claim 1:

- A method for applying business rules to data, comprising the steps:

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for each rule, invoking the rule at the occurrence of each of a defined set of operations on the data, identifying a predetermined trigger condition for the rule, and processing the rule if the predetermined trigger condition is satisfied.

[(col. 13, line 51 to col. 14, line 10"*For example, the information from a provider may include the provider's telephone number ...or sending a message to another software program on the consumer's desktop.*" )]

**Regarding Claim 2:**

the identifying step includes the steps of: identifying at least one data value [(col. 93, line 30-43 "*Reports are typically one of the most valuable functions of any database system ...Reporting control can also be used by the operators of a communications object system as the basis for billing and licensing, much as telephone usage reports are the basis for billing telephone system customers.*" )]; identifying a trigger value [(col. 93, line 30-43 "*Reports are typically one of the most valuable functions of any database system ...Reporting control can also be used by the operators of a communications object system as the basis for billing and licensing, much as telephone usage reports are the basis for billing telephone system customers.*" )]; and identifying an operator indicating how the data value will be compared to the trigger value. [(col. 93, line 30-43 "*Reports are typically one of the most valuable functions of any database system ...Reporting control can also be used by the operators of a communications object system as the basis for billing and licensing, much as telephone usage reports are the basis for billing telephone system customers.*" )]

**Regarding Claim 3:**

- A method of applying business rules to data, comprising the steps: for each rule, invoking the rule at the occurrence of each of a defined set of operations on the data, identifying a predetermined trigger condition for the rule, invoking a predefined method if the trigger condition is partially satisfied, and using the method to determine a final result of the rule. [(col. 21, line 33-62 "*Rules 140 work in conjunction with methods to provide the operational functionality of a communications object system ... Rules may be understood further in the discussion of communications object control functions below.*")]

**Regarding Claim 4:**

- A method for managing business rules for data, comprising the steps: establishing a set of business rules, each of the rules including a trigger condition and a process [(col. 24, line 22-58 "*Because communications objects and their component type definitions ... conventional database management systems.*")]; storing the rules in a table [(col. 24, line 22-58 "*Because communications objects and their component type definitions ... conventional database management systems.*")]; performing a predefined operation on the data [(col. 24, line 22-58 "*Because communications objects and their component type definitions ... conventional database management systems.*")]; checking all the rules in the table to

determine if any are invoked by the predefined operation [(col. 24, line 22-58 “Because communications objects and their component type definitions ... conventional database management systems.”)]; for each rule that is invoked, determining whether the trigger condition of the rule is satisfied [(col. 24, line 22-58 “Because communications objects and their component type definitions ... conventional database management systems.”)]; and for each rule the trigger condition of which is satisfied, implementing the process of the rule. [(col. 24, line 22-58 “Because communications objects and their component type definitions ... conventional database management systems.”)]

**Regarding Claim 5:**

comprising the steps of: running an application using the data; and changing any of the business rules without recompiling or reinstalling the application. [(col. 29, line 57 to col. 30, line 30 “FIG 10A shows the processing steps to be taken upon submission of a create form ...the next HTML screen is generated (step 435).”)]

**Regarding Claim 6:**

comprising the step, upon rule failure, defining a message and help for each rule using visual programming techniques. [(col. 29, line 57 to col. 30, line 30 “FIG 10A shows the processing



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*steps to be taken upon submission of a create form ...the next HTML screen is generated (step 435).“]*

**Regarding Claim 7:**

comprising the step, upon rule execution, adding the help and message to an error message list.

*[(col. 29, line 57 to col. 30, line 30 “FIG 10A shows the processing steps to be taken upon submission of a create form ...the next HTML screen is generated (step 435).“)]*

**Regarding Claim 8:**

- A system for managing business rules for data, comprising: means for establishing a set of business rules, each of the rules including a trigger condition and a process *[(col. 67, line 12-61 “The ability of a communications object system to automate common communications tasks ... HTML form.“)]*; a table for storing the rules *[(col. 67, line 12-61 “The ability of a communications object system to automate common communications tasks ... HTML form.“)]*; means for performing predefined operation on the data *[(col. 67, line 12-61 “The ability of a communications object system to automate common communications tasks ... HTML form.“)]*; means for checking all the rules in the table to determine if any are invoked by the predefined operation *[(col. 67, line 12-61 “The ability of a communications object system to automate common communications tasks ...*

**HTML form.”)];** means for determining, for each rule that is invoked, whether the trigger condition of the rule is satisfied [(col. 67, line 12-61 “*The ability of a communications object system to automate common communications tasks ...*

**HTML form.”)];** and means for implementing the process of each rule, the trigger condition of which is satisfied. [(col. 67, line 12-61 “*The ability of a communications object system to automate common communications tasks ...*

**HTML form.”)]**

**Regarding Claim 9:**

comprising: means for running an application using the data; and means for changing any of the business rules without recompiling or reinstalling the application. [(col. 69, line 27 to col. 70, line 4 “*As with any multiuser database system ... Active Database Systems.*”)]

**Regarding Claim 10:**

- A program storage device readable by machine, tangibly embodying a program of instructions executable by the machine to perform method steps for managing business rules for data, said method steps comprising: establishing a set of business rules, each of the rules including a trigger condition and a process [(col. 11, line 65 to col. 12, col. 58 “*There is illustrated in FIG. 1 a first ...*

*network.”); storing the rules in a table [(col. 11, line 65 to col. 12, col. 58 “There is illustrated in FIG. 1 a first ... network.”)]; performing a predefined operation on the data [(col. 11, line 65 to col. 12, col. 58 “There is illustrated in FIG. 1 a first ... network.”)]; checking all the rules in the table to determine if any are invoked by the predefined operation [(col. 11, line 65 to col. 12, col. 58 “There is illustrated in FIG. 1 a first ... network.”)]; for each rule that is invoked, determining whether the trigger condition of the rule is satisfied [(col. 11, line 65 to col. 12, col. 58 “There is illustrated in FIG. 1 a first ... network.”)]; and for each rule the trigger condition of which is satisfied, implementing the process of the rule. [(col. 11, line 65 to col. 12, col. 58 “There is illustrated in FIG. 1 a first ... network.”)]*

**Regarding Claim 11:**

comprise: running an application using the data; and changing any of the business rules without recompiling or reinstalling the application. [(col. 13, line 7-45 “Appropriate programs executing on the provide computer 1 and the consumer computer 2 perform the functions ...and other notification methods.”)]

## Conclusion

10. The prior art made of record and (listed of form **PTO-892**) not relied upon is considered pertinent to applicant's disclosure as follows. Applicant or applicant's representative is respectfully reminded that in process of patent prosecution i.e., amending of claims in response to a rejection of claims set forth by the Examiner per Title 35 U.S.C. The patentable novelty must be clearly shown in view of the state of the art disclosed by the references cited and any objections made. Moreover, applicant or applicant's representative must clearly show how the amendments avoid or overcome such references and objections. *See 37 CFR § 1.111(c).*

## Correspondence Information

10. Any inquiries concerning this communication or earlier communications from the examiner should be directed to **Michael B. Holmes** who may be reached via telephone at **(703) 308-6280**. The examiner can normally be reached Monday through Friday between 8:00 a.m. and 5:00 p.m. eastern standard time.

If you need to send the Examiner, a facsimile transmission regarding After Final issues, please send it to **(703) 746-7238**. If you need to send an Official facsimile transmission, please send it to **(703) 746-7239**. If you would like to send a Non-Official (draft) facsimile transmission the fax is **(703) 746-7240**. If any attempts to reach the examiner by telephone are unsuccessful, the **Examiner's Supervisor, Anil Khatri**, may be reached at **(703) 305-0282**.

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Any response to this office action should be mailed too:

**Director of Patents and Trademarks Washington, D.C. 20231.** Hand-delivered responses should be delivered to the Receptionist, located on the fourth floor of **Crystal Park II, 2121 Crystal Drive Arlington, Virginia.**

***Michael B. Holmes***

Patent Examiner

Artificial Intelligence

Art Unit 2121

United States Department of Commerce

Patent & Trademark Office

Friday, October 10, 2003

*Ramesh Patel*  
RAMESH PATEL  
PRIMARY EXAMINER 10/14/03  
*For Anil Khetri*